

04-23-01

Attorney Docket No.: 3001 P 014

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re U.S. Continuation Patent Application Of:) Prior Application:
Kenneth Kiron and Kevin S. Bander) Application No. 09/579,801
Mailed: April 20, 2001) Filed: May 26, 2000
For: Open End Mutual Fund) Art Unit: 2761
Securitization Process) Examiner: Not Assigned
Present Application
Examiner: Not Assigned
Art Unit: Not Assigned

CONTINUATION PATENT APPLICATION
TRANSMITTAL FILING UNDER 37 C.F.R. §1.53(b)

Box Patent Application
Commissioner For Patents
Washington, D.C. 20231

Dear Sir:

This is a request for filing a continuation application of pending prior Application Serial No. 09/579,801, under 37 C.F.R. § 1.53(b). The parent application was filed on May 26, 2000, by Applicants Kenneth Kiron and Kevin S. Bander, and is similarly entitled "Open End Mutual Fund Securitization Process." The parent application is a continuation of Application No. 09/140,868 filed on August 27, 1998, now U.S. Patent No. 6,088,685, which is a continuation of Application No. 08/542,431 filed on October 12, 1995, now U.S. Patent No. 5,806,048.

Benefit of Prior U.S. Application

The attached continuation application being transmitted claims the benefit of prior U.S. applications, as indicated below.

Papers Enclosed

In accordance with 37 C.F.R. § 1.63(d), the specification filed herewith contains no new matter. Accordingly, a copy of the executed Declaration and Power of Attorney from the parent application U.S. Application No. 08/542,431, now U.S. Patent No. 5,806,048, is submitted herewith.

The papers attached are as follows:

- Specification, Claims and Abstract, as originally filed October 12, 1995;
- Three (3) sheets of Drawings containing Figures 1A-1L and 2, as originally filed October 12, 1995;
- Substitute Specification and Abstract as filed February 9, 1998;
- Amendment filed February 9, 1998 amending the Claims;
- Preliminary Amendment filed August 27, 1998;
- Response to Office Action filed September 2, 1999 amending the Claims;
- Terminal Disclaimer filed September 2, 1999;
- Preliminary Amendment filed May 26, 2000; and
- Second Preliminary Amendment filed March 13, 2001.

Additional Papers Enclosed

A Preliminary Amendment is also attached, requesting amendment of the claims before examination.

A copy of the executed Verified Statement Claiming Small Entity Status - Independent Inventor/Small Business Concern from the parent Application (U.S. Application No. 09/579,801), which is a copy of the executed Verified Statement Claiming Small Entity Status - Small Business Concern from its parent application (U.S. Application No. 08/542,431, now U.S. Patent No. 5,806,048).

A copy of the Assignment from the parent Application (U.S. Application No. 09/579,801), which is a copy of the executed Assignment from its parent application (U.S. Application No. 08/542,431, now U.S. Patent No. 5,806,048).

A copy of the Notification of Filing of Continuation Application as filed in parent application (U.S. Application No. 09/579,801).

Declaration or oath (including power of attorney)

As previously stated, a copy of the executed Declaration and Power of Attorney filed in the prior U.S. application (Application No. 08/542,431) is submitted herewith, in accordance with 37 C.F.R. §1.63(d). Also enclosed is a copy of the Associate Power of Attorney filed September 2, 1999 in Application No. 09/140,868.

Incorporation by Reference

The entire disclosure of the prior application, from which a copy of the oath and declaration is supplied is considered as being part of the disclosure of the accompanying application and is hereby incorporated herein by reference.

Inventorship Statement

The inventorship for all the claims in this application is the same as that for the parent application.

Fee Calculation (37 C.F.R. § 1.16)

The filing fee has been calculated as shown below:

For:	No. Filed	No. Extra	Small Entity		or	Other Than A Small Entity	
			Rate	Fee		Rate	Fee
Basic Fee				\$355	or		\$710
Total Claims	13 - 20 =	0	x 9 =	\$0	or	x 18 =	\$
Indep. Claims	4 - 3 =	1	x40 =	\$ 40	or	x 80 =	\$
<input type="checkbox"/> First Presentation of Multiple Dependent Claim			x135 =	\$0	or	x270 =	\$0
			Total	\$395	or	Total	\$

X Check No. 8165 in the amount of \$395.00 is attached.

The Commissioner is hereby authorized to charge payment or credit any overpayment to Deposit Account No. 23-0280 for the following fees associated with this communication and during the entire pendency of the Application (a duplicate copy of this sheet is attached).

X Any additional filing fees under 37 C.F.R. § 1.16(a), (f) and (g).

X Any filing fees under 37 C.F.R. § 1.16(b), (c) and (d) for presentation of extra claims.

X Any patent application processing fees under 37 C.F.R. § 1.17.

Attorney Docket No. 3001 P 014
Title: Open End Mutual Fund Securitization Process
Inventors: Kenneth Kiron and Kevin S. Bander
Page 4

Relate Back--35 U.S.C. 120

As required under 35 U.S.C. 120, the Specification of the attached application includes the following specific reference to the earlier filed parent applications:

"This Application is a continuation of co-pending Application Serial No. 09/579,801 filed May 26, 2000, which is a continuation of U.S. Application 09/140,868 filed August 27, 1998, now U.S. Patent No. 6,088,685, which is a continuation of U.S. Application No. 08/542,431 filed October 12, 1995, now U.S. Patent No. 5,806,048."

Please address all future communications to:

Edward L. Bishop
Wallenstein & Wagner, Ltd.
311 South Wacker Drive, 53rd Floor
Chicago, Illinois 60606-6630
312.554.3300

Respectfully submitted,

Date:

4/20/01

By:



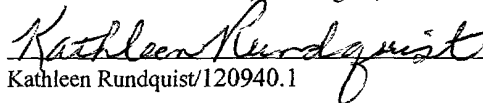
Edward L. Bishop, Reg. No. 39,110
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311 South Wacker Drive, 53rd Floor
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Attorney for Applicants

CERTIFICATION UNDER 37 C.F.R. § 1.10

Express Mail Label No. EL626159365US

Date of Deposit: April 20, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service, postage prepaid, under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Box Patent Application, Commissioner for Patents, Washington, D.C. 20231.


Kathleen Rundquist/120940.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re U.S. Continuation Patent Application Of)
Kenneth Kiron and Kevin Bander)
Application No.: 09/579,801) Examiner: Unassigned
Filed: May 26, 2000) Group Art Unit: 2761
For: OPEN END MUTUAL FUND)
SECURITIZATION PROCESS)

Commissioner for Patents
Washington, D.C. 20231

NOTIFICATION OF FILING OF CONTINUATION APPLICATION

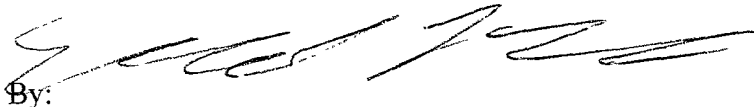
Notification is hereby being made of the filing of a Continuation Application for this case
filed on April 20, 2001, Attorney Docket No. 3001 P 014.

Respectfully submitted,

Date:

4/20/01

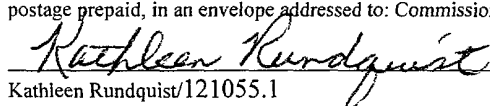
By:



Edward L. Bishop, Reg. No. 39,110
WALLENSTEIN & WAGNER, LTD.
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CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231 on April 20, 2001


Kathleen Rundquist/121055.1

In Re U.S. Continuation Patent Application Of: Kenneth Kiron and Kevin S. Bander

For: Sector Fund Securitization Process

W&W File No. 3001 P 014

Enclosures: Post Card.

Check No. 8165 for \$395.00.

Continuation Patent Application Transmittal (in duplicate).

Copy of the Notification of Filing of Continuation Application as filed in parent application.

Preliminary Amendment.

10 Sheets of Specification, Claims and Abstract (2 Claims) as originally filed October 12, 1995.

3 Sheets Informal Drawings (Figs. 1-2) as originally filed October 12, 1995.

Copy of Substitute Specification and Abstract filed in parent application.

Copy of Amendment filed in parent application.

Copy of Preliminary Amendment filed August 27, 1998 in parent application.

Copy of Response to Office Action filed in parent application.

Copy of Terminal Disclaimer filed in parent application.

Copy of Preliminary Amendment filed May 26, 2000 filed in parent application.

Copy of Second Preliminary Amendment filed in parent application.

Copy of Verified Statement Claiming Small Entity Status filed in parent application.

Copy of Assignment from the parent application.

Copy of Declaration and Power of Attorney filed in parent application.

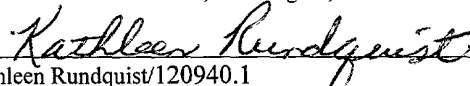
Copy of Associate Power of Attorney filed Sept. 2, 1999 in parent application.

CERTIFICATION UNDER 37 C.F.R. § 1.10

Express Mail Label No. EL626159365US

Date of Deposit: April 20, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service, postage prepaid, under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Box Patent Application, Fee, Commissioner for Patents, Washington, D.C. 20231.


Kathleen Rundquist/120940.1